

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of  
BORNSCHEUER et al.

Serial No. 09/161,680

Filed: September 28, 1998



CORRECTION BRANCH

For: ALTERATION OF THE SUBSTRATE SPECIFICITY OF ENZYMES

I hereby certify that this correspondence  
is being deposited with the United States  
Postal Service as first class mail in an  
envelope addressed to Commissioner of  
Patents and Trademarks, Washington, D.C.  
20231, on:

October 20, 1998

Date of Deposit

Herbert B. Keil

Person Making Deposit

Signature

REQUEST FOR FOR CORRECTED FILING RECEIPT

Honorable Commissioner of  
Patents and Trademarks  
Washington, D.C. 20231

Dear Sir:

This is a request for a corrected filing receipt. The first  
applicant's name is Uwe BORNSCHEUER. It was incorrect on the  
transmittal cover letter. Please charge the \$25.00 fee to Deposit  
Account No. 11-0345.

Respectfully submitted,

KEIL & WEINKAUF

Herbert B. Keil  
Reg. No. 18,967

1101 Connecticut Ave., N.W.  
Washington, D.C. 20036  
(202)659-0100

SECT 7 \$

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

BORNSCHEUER et al.

Serial No. 09/161,680

Filed: September 28, 1998

For: THE ALTERNATION OF THE SUBSTRATE SPECIFICITY OF ENZYMES

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Commissioner of Patents and Trademarks, Washington, D.C. 20231, on:

October 22, 1998

Date of Deposit

Herbert B. Keil

Person Making Deposit

Signature

RESPONSE TO NOTICE TO FILE MISSING PARTS

Hon. Commissioner of Patents  
& Trademarks  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts dated October 13, 1998, attached please find the executed declaration for the above-identified application. Also attached is an assignment for the above-identified application. A check for \$170.00 is attached. Entry is respectfully requested.

Please charge any shortage in fees due in connection with the filing of this paper to Deposit Account No. 11-0345.

Respectfully submitted,

KEIL & WEINKAUF

*H B Keil*  
Herbert B. Keil  
Reg. No. 18,967

1101 Connecticut Avenue, N.W.  
Washington, D.C. 20036  
(202)659-0100



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/161,680	09/28/98	WEBER	M 48427 #3

0242/1013

HERBERT B KEIL  
KEIL & WEINKAUF  
1101 CONNECTICUT AVE NW  
WASHINGTON DC 20036

NOT ASSIGNED

1646

DATE MAILED:

10/13/98

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 130.00.

- ☐ 1. The statutory basic filing fee is:
- ☐ missing.
  - ☐ insufficient.
- Applicant must submit \$ \_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- ☐ 2. Additional claim fees of \$ \_\_\_\_\_, including any multiple dependent claim fees, are required.
- \$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.
  - \$ \_\_\_\_\_ for \_\_\_\_\_ dependent claims over 20.
  - \$ \_\_\_\_\_ for multiple dependent claim surcharge.
- Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.
- ☒ 3. The oath or declaration:
- ☒ is missing or unexecuted.
  - ☐ does not cover the newly submitted items.
  - ☐ does not identify the application to which it applies.
  - ☐ does not include the city and state or foreign country of applicant's residence.
- An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.
- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.
- A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s) in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- 10/28/1998 DWSH: (09/000037/09151600)
- 01 FC:105
- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).
  - ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.
  - ☐ 8. The application does not comply with the Sequence Rules.  
See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."
  - ☐ 9. OTHER: \_\_\_\_\_

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Denise Hopkins  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/161,680	09/28/98	1646	\$790.00	48429	2	9	1

HERBERT B KEIL  
KEIL & WEINKAUF  
1101 CONNECTICUT AVE NW  
WASHINGTON DC 20036

OCT 2 3 1998

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

MARTIN WEBER.

*uwe Bornscheuer*

FOREIGN FILING LICENSE GRANTED 10/08/98

TITLE

ALTERATION OF THE SUBSTRATE SPECIFICITY OF ENZYMES

PRELIMINARY CLASS: 435

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "FOREIGN FILING LICENSE GRANTED" followed by a date appears on the reverse side of this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.11. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.62 which meets the provisions of 37 CFR 5.15(a). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations, especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR Parts 121-128) ); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j) ); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "FOREIGN FILING LICENSE GRANTED" DOES NOT appear on the reverse side of this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).